



CF-72

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Timothy H. Heaton  
Application No.: 10/661,763 Confirmation No.: 8158  
Filed : September 11, 2003  
For : GRAPHICAL USER INTERFACE RELATED TO NON-  
STANDARD TRADING OF FINANCIAL INSTRUMENTS  
Group Art Unit : 3621

New York, New York  
August 19, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This Statement  
is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application  
filing date but before the mailing date of the  
first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

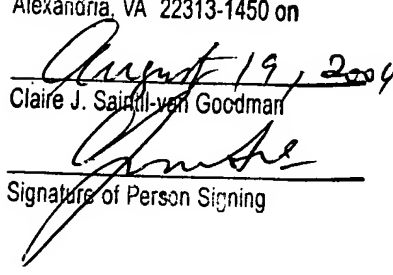
Respectfully submitted,



Hassan Albakri  
(Limited Recognition)  
Agent for Applicant  
FISH & NEAVE  
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New York, New York 10020-1105  
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I hereby certify that this  
Correspondence is being  
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Addressed to:  
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P.O. Box 1450  
Alexandria, VA 22313-1450 on

August 19, 2004  
Claire J. Sainfil-von Goodman

  
Signature of Person Signing



JFw

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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,  
applicant wishes to call the attention of the Examiner to the  
following documents:

U.S. PATENT DOCUMENTS

Molinari et al.	6,016,482	Jan. 18, 2000
Belzberg	6,134,535	Oct. 17, 2000
Finkelstein et al.	2001/0037284 A1	Nov. 01, 2001
Zajac	2002/0120546 A1	Aug. 29, 2002

The aforementioned documents are listed on the  
accompanying Form PTO-1449 (submitted in duplicate).

Applicant requests that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

In addition, applicant wishes to call the attention of the Examiner to the following U.S. patent applications:

Kirwin et al.	No. 09/745,651	Dec. 22, 2000
Ginsberg et al.	No. 09/846,025	Apr. 30, 2001
Gilbert et al.	No. 09/982,709	Oct. 18, 2001
Gilbert et al.	No. 10/144,695	May 10, 2002
Lutnick et al.	No. 10/147,269	May 14, 2002
Lutnick et al.	No. 10/699,859	Oct. 31, 2003

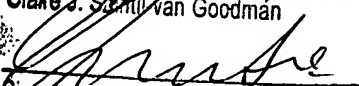
Copies of the aforementioned documents are enclosed herewith. It is respectfully requested that these documents be fully considered by the Patent and Trademark Office during examination of this application.

Respectfully submitted,



Hassan Albakri  
(Limited Recognition)  
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Claire J. Schmitt van Goodman  
  
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New York, New York  
August 19, 2004

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TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

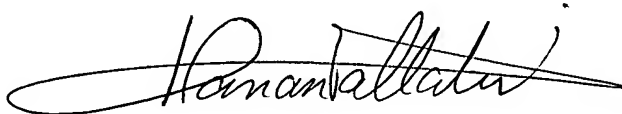
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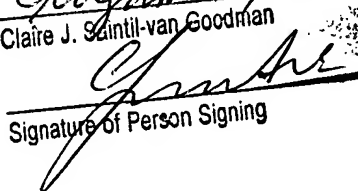
Respectfully submitted,



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August 19, 2004  
Claire J. Santil-van Goodman

  
Signature of Person Signing



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANTATTY. DOCKET NO.  
CF-72APPLICATION  
NO.  
10/661,763

## APPLICANTS

Timothy H. Heaton

CONFIRMATION  
NO.  
8158

## FILING DATE

September 11, 2003

## GROUP

3621

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,016,482	01/18/2000	Molinari et al.	705	35	
	6,134,535	10/17/2000	Belzberg	705	37	
	2001/0037284 A1	11/01/2001	Finkelstein et al.	705	37	
	2002/0120546 A1	08/29/2002	Zajac	705	37	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.